



1764  
Patent  
269/206

#6

4-26-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Heijiro OJIMA, et al

Serial No.: 09/990,857

Filed: November 15, 2001

For: METAL LUBRICANTS CONTAINING A  
BRIDGE COMPLEX

Group Art Unit: 1764

Examiner: to be assigned

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APR 03 2002  
TC 1700

MAR - 5 2002  
TC 1700

### INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. The items are listed on the attached form PTO-1449 and copies are enclosed for the convenience of the Examiner.

The items identified in this IDS may or may not be "material" pursuant to 37 CFR § 1.56. The submission thereof by Applicant is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

### INFORMATION DISCLOSURE STATEMENT FILING PROVISION:

☒ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

☒ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

- ☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.
- ☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.
- ☐ The fee due under 37 CFR § 1.17(p) is submitted herewith.
- ☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.
- ☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

**STATEMENT UNDER 37 CFR § 1.97(e):**

- ☐ Each item contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.
- ☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.

**PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:**

- ☐ A check in the amount of \_\_\_\_\_ is enclosed for the above fee(s).  
☐ Please charge \_\_\_\_\_ to Deposit Account No. **12-2475** for the above fee(s).

The Commissioner is authorized to charge any fees required by the filing of these papers, and to credit any overpayment to Lyon & Lyon's Deposit Account No. **12-2475**.

Dated: 2/20/02

Respectfully submitted,  
LYON & LYON LLP

By: *Paul H. Meier*  
Paul H. Meier  
Reg. No. 32,274



**22249**

LYON & LYON LLP  
633 W. Fifth Street,  
Suite 4700  
Los Angeles, CA  
90071



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TRANSMITTAL

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicant submits the following documents with this Transmittal Letter.

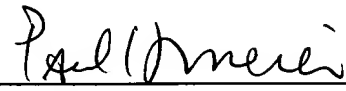
- (1) Information Disclosure Statement;
- (2) Form PTO-1449;
- (3) References AA through BH; and
- (4) Return Postcard

Respectfully submitted,

LYON & LYON LLP

Dated: February 20, 2002

By:

  
Paul H. Meier  
Reg. No. 32,274

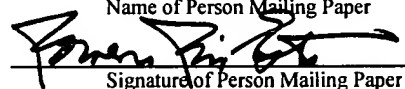
633 West Fifth Street, Suite 4700  
Los Angeles, California 90071-2066  
(213) 489-1600  
LA-228027.1

CERTIFICATE OF MAILING  
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

February 20, 2002  
Date of Deposit

Rowena R. Estrada  
Name of Person Mailing Paper

  
Signature of Person Mailing Paper

. FORM PTO-1449		ATTY. Docket NO. 269/206	SERIAL NO. 09/990,857
LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		APPLICANT: Heijiro OJIMA, et al	
		FILING DATE: November 15, 2001	
		GROUP: 1764	

MAR - 5 2002

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
JH	AA	3,004,056	10/10/61	Nunn et al	260	461	11/12/59
	AB	3,004,057	10/10/61	Nunn et al	260	461	12/1/59
	AC	3,249,538	5/3/66	Freier et al	252	18	10/14/58
	AD	3,829,506	8/13/74	Schmolka et al	260	615	
	AE	3,833,502	9/3/74	Leary et al	252	49.5	4/30/73
	AF	3,933,658	1/20/76	Beiswanger et al	252	31	9/16/70
	AG	3,970,569	7/20/76	Sturwold et al	252	49.3	1/31/74
	AH	4,138,346	2/6/79	Nassry et al	252	32.5	12/6/76
	AI	4,151,099	4/24/79	Nassry et al	252	32.7	1/3/77
	AJ	4,199,381	4/22/80	Nuss et al	252	6.15	8/14/78
	AK	4,253,975	3/3/81	Law et al	252	32.7	8/27/79
	AL	4,289,547	9/15/81	King et al	148	6.15	
	AM	4,654,155	3/31/87	Kipp et al	252	32.5	
	AN	4,831,171	5/16/89	Bergfeld et al	556	134	9/25/86
	AO	5,124,308	6/23/92	Albin et al	503	217	11/17/89
	AP	5,716,913	2/10/98	Yamamoto et al	508	365	11/5/96

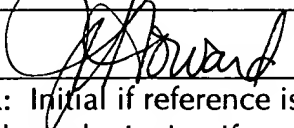
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO
JH	AQ	EP 0 061 823 A1	10/06/82	European Patent Office	C 10 M 3/00		X
	AR	EP 0 398 201 A1	11/22/90	European Patent Office	C23C 22/12, C23C 22/28		X
	AS	EP 0 947 519 A1	10/6/99	European Patent Office	C07F 3/06		X

EXAMINER: <i>JH</i>	DATE CONSIDERED: <i>7/16/03</i>
EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant	

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b> 269/206	<b>SERIAL NO.</b> 09/990,857
	<b>APPLICANT:</b> Heijiro OJIMA, et al	
	<b>FILING DATE:</b> November 15, 2001	

AT	E 3524629 A1	1/15/87	West Germany	C 07 D 235/32			X
JP	JP 38-8117	6/5/63	Japan			Abstract	
AV	JP 47-45487	11/16/72	Japan			Abstract	
AW	JP 50-62207	5/28/75	Japan			Abstract	
AX	JP 53-32274	3/27/78	Japan			Abstract	
AZ	JP 58-063794	4/15/83	Japan			Abstract	
BA	JP 61-291591	12/22/86	Japan			Abstract	
BB	JP 62-081396	4/14/87	Japan			Abstract	
BC	JP 02-305897	12/19/90	Japan			Abstract	
BD	JP 04-239096	8/26/92	Japan			Abstract	
BE	JP 07-118283	5/9/95	Japan			Abstract	
BF	JP 07-118682	5/9/95	Japan			Abstract	
BG	WO 99/64544	12/16/99	Patent Cooperation Treaty			X	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)		
BH	Schey, J.A., "Tribology in Metalworking, Friction, Lubrication and Wear," section 4.7.8 (Phosphate Coatings), pp. 175-178, American Society For Metals, 1983.	
BI		
BJ		
BK		
BL		

<b>EXAMINER:</b> 	<b>DATE CONSIDERED:</b> 7/16/83
EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant	